Express Mail No.: EV320118510US. I hereby certify that this paper or fee is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated below and is addressed to Mail Stop Patent Application, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

November 13, 2003

Date Mailed

Name

Signature

Date

Attorney's Docket No: 42P17910

Patent

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Patent Application of:)		
Ansheng Liu et al.)	Examiner:	Not Yet Assigned
No.: Not Yet Assigned)	Art Unit:	Not Yet Assigned
Date: Concurrently herewith)		
METHOD AND APPARATUS FOR DUAL TAPERING AN OPTICAL WAVEGUIDE)) <u>)</u>		
	Ansheng Liu et al. No.: Not Yet Assigned Date: Concurrently herewith METHOD AND APPARATUS FOR DUAL	Ansheng Liu et al. No.: Not Yet Assigned Date: Concurrently herewith METHOD AND APPARATUS FOR DUAL)	Ansheng Liu et al. No.: Not Yet Assigned Date: Concurrently herewith METHOD AND APPARATUS FOR DUAL Description: METHOD AND APPARATUS FOR DUAL Description: Descript

Mail Stop Patent Application Commissioner for Patents P.O. Box 1450 Alexandria, VA 22313-1450

INFORMATION DISCLOSURE STATEMENT

Sir/Madam:

Enclosed is a copy of Information Disclosure Citation Form PTO-1449 together with copies of the documents listed on thereon. It is respectfully requested that the listed documents be considered and that the enclosed copy of Information Disclosure Citation Form PTO-1449 be initialed by the Examiner to indicate such consideration and a copy thereof returned to applicant(s).

Pursuant to 37 C.F.R. § 1.97, the submission of this Information Disclosure Statement is not to be construed as a representation that a search has been made and is not to be construed as an admission that the information cited in this statement is material to patentability.

Pursuant to 37 C.F.R. § 1.97, this Information Disclosure Statement is being submitted under one of the following (as indicated by an "X" to the left of the appropriate paragraph):

<u>X</u>	37 C.F.R. §1.97(b).								
	37 C.F.R. §1.97(c). If so, then enclosed with this Information Disclosure Statement is <u>one</u> of the following:								
	A certification pursuant to 37 C.F.R. §1.97(e) or								
	A check for \$ for the fee under 37 C.F.R. § 1.17(p).								
	37 C.F.R. §1.97(d). If so, then enclosed with this Information Disclosu Statement are the following:								
	(1) A certification pursuant to 37 C.F.R. §1.97(e);								
	(2) A petition requesting consideration of the Information Disclosure Statement; and								
	(3) A check for \$ for the fee under 37 C.F.R. §1.17(i) for submission of the Information Disclosure Statement.								

If there are any additional charges, please charge Deposit Account No. 02-2666.

Respectfully submitted,

BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP

Dated: 11-13-03

Page No. 40 621

Reg. No. 40,621

12400 Wilshire Blvd. Seventh Floor Los Angeles, CA 90025-1026 (206) 292-8600

۲ -											
Substitute for Form 1449/PTO				Complete if Known							
INFORMATION DISCLOSURE					=	Application Number	New Applicati	New Application			
STATEMENT BY APPLICANT					Filing Date	Concurrently h	Concurrently herewith				
					First Named Inventor:	Ansheng Liu et al.					
(use as many sheets as necessary)			Art Unit	Not Yet Assigned							
						Examiner Name	Not Yet Assigned				
Sheet	1		of	1		Attorney Docket Number	42P17910				
NON PATENT LITERATURE DOCUMENTS											
Examiner Initials*	Cite No ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published							T ²		
	1.	MOERMAN, I., et al., "A Review on Fabrication Technologies for the Monolithic Integration of Tapers with III-V Semiconductor Devices," <i>IEEE Journal of Selected Topics in Quantum Electronics</i> , Vol. 3, No. 6, (December 1997) pp.1308-1320									
											
Examiner							D-11-				
Examiner	I					1	Date				

Signature Considered

*Examiner: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. 'Applicant's unique citation designation number (optional). 'Applicant is to place a check mark here if English translation

is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, Washington, DC 20231. DO NOT SENT FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, Virginia 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.